

3763

PTO/SB/81 (06-03)

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Application Number	09/467,293
Filing Date	December 17, 1999
First Named Inventor	Pastrone
Art Unit	3763
Examiner Name	M. Mendez
Attorney Docket Number	RMI-5708CIP2CON2

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<input checked="" type="checkbox"/> Firm or Individual Name	John Christopher James				
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Address	One Edwards Way, Legal Department				
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I am the:

☐ Applicant/Inventor.

☒ Assignee of record of the entire interest. See 37 CFR 3.71.  
Statement under 37 CFR 3.73(b) is enclosed. (Form PTO/SB/96).

## SIGNATURE of Applicant or Assignee of Record

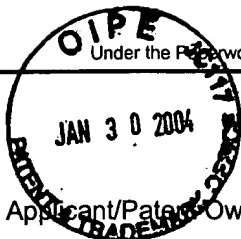
Name	Jay P. Wertheim, Vice President, Associate General Counsel & Assistant Corporate Secretary				
Signature	<i>Jay P. Wertheim</i>				
Date	1/27/04	Telephone	949 250-6815		

NOTE: Signatures of all the inventors or assignees of record of the entire interest or their representative(s) are required. Submit multiple

☒ \*Total of 3 forms are submitted.

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PTO/SB/96 (08-03)  
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### STATEMENT UNDER 37 CFR 3.73(b)

Applicant/Patent Owner: Edwards Lifesciences Corporation

Application No./Patent No.: 09/467,293

Filed/Issue Date: December 17, 1999

Entitled: BALLOON OCCLUSION DEVICE AND METHODS OF USE

Edwards Lifesciences Corporation, a Corporation

(Name of Assignee)

(Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

states that it is:

1. ☒ the assignee of the entire right, title, and interest; or
2. ☐ an assignee of less than the entire right, title and interest.  
The extent (by, percentage) of its ownership interest is \_\_\_\_\_ %  
in the patent application/patent identified above by virtue of either:

A. ☒ An assignment from the inventor(s) of the patent application/patent identified above. The assignment was recorded in the United States Patent and Trademark Office at Reel 013998, Frame 0632, or for which a copy thereof is attached.

OR

B. ☐ A chain of title from the inventor(s), of the patent application/patent identified above, to the current assignee as shown below:

1. From: \_\_\_\_\_ To: \_\_\_\_\_  
The document was recorded in the United States Patent and Trademark Office at Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.
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☐ Additional documents in the chain of title are listed on a supplemental sheet.

☐ Copies of assignments or other documents in the chain of title are attached.

[NOTE: A separate copy (i.e., the original assignment document or a true copy of the original document) must be submitted to

Assignment Division in accordance with 37 CFR Part 3, if the assignment is to be recorded in the records of the USPTO. See MPEP 302.08]

The undersigned (whose title is supplied below) is authorized to act on behalf of the assignee.

1/27/04  
Date

949 250-6815  
Telephone number

Jay P. Wertheim  
Typed or printed name  
Jay P. Wertheim  
Signature  
Vice President, Associate General Counsel &  
Assistant Corporate Secretary  
Title

This collection of information is required by 37 CFR 3.73(b). The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETE D FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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